United Nations CTOC/COP/2018/L.1

Conference of the Parties to the United Nations Convention against Transnational Organized Crime

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15 October 2018

Original: English

Ninth session
Vienna, 15–19 October 2018

Draft report

Rapporteur: Maite Fernández García (Argentina)

I. Organizational matters

A. Opening of the session

1. The Conference of the Parties to the United Nations Convention against Transnational Organized Crime held its ninth session in Vienna from 15 to 19 October 2018. During the session, 10 meetings were held, including [xx] meetings of the Committee of the Whole. The Working Group on International Cooperation held two meetings on 16 October 2018.

2. At the first, second and third meetings of the session, on 15 and 16 October 2018, opening statements were made by the Executive Director of the United Nations Office on Drugs and Crime (UNODC) and the representatives of Ecuador (on behalf of the Group of 77 and China), Nigeria (on behalf of the African Group), China (on behalf of the Group of Asia-Pacific States), Brazil (on behalf of the Group of Latin American and Caribbean States), and the European Union (on behalf of the European Union and its member States and Albania, Andorra, Bosnia and Herzegovina, the Republic of Moldova, Montenegro, San Marino, Serbia, the former Yugoslav Republic of Macedonia and Ukraine). Statements were also made by the Minister of Justice of Italy, the Minister of Police of South Africa, the Prosecutor General of Egypt, the Attorney General of the Sudan, the Vice-Minister for Constitutional Affairs, Reform, Deregulation and Justice of Austria, the Vice-Minister of Justice of Cuba, the Secretary of State for Justice of Angola, the State Secretary of Internal Affairs of the Russian Federation, the Legal Adviser of the Minister of Interior of Qatar, the Undersecretary for the Relations of the Holy See with States, the Deputy Minister of Justice of Namibia, the Vice-Minister of Interior of Guatemala, and the Deputy Chief of Staff, Security and Defence of Honduras. Further statements were made by Mexico, Turkey, Canada, the Dominican Republic, El Salvador, China, Morocco, Indonesia, Peru, Germany, Brazil, the United Arab Emirates, Pakistan, Japan, Australia, Colombia, the United Kingdom of Great Britain and Northern Ireland and Syria, as well as by the representatives of the Islamic Republic of Iran and the Sovereign Military Order of Malta.

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B. Election of officers

3. At its first session, the Conference had decided that the offices of President and Rapporteur should rotate among the regional groups and that such rotation should take place in alphabetical order. Accordingly, at the ninth session, the President of the Conference was nominated by the Western European and other States, while the Rapporteur was nominated by the Latin American and Caribbean States.

4. At its first meeting, on 15 October 2018, in accordance with rule 22 of the rules of procedure, the Conference elected the following officers by acclamation:

President: Senén Florensa Palau (Spain)

Vice-Presidents: Maria Assunta Accili Sabbatini (Italy)
Usama Alnashy (Iraq)
Alicia Guadalupe Buenrostro Massieu (Mexico)
Lorena-Maria Feruta (Romania)
Ondrej Gavalec (Slovakia)
Faouzia Mebarki (Algeria)
Vivian N. R. Okeke (Nigeria)
Abu Zafar (Bangladesh)

Rapporteur: Maite Fernández García (Argentina)

C. Adoption of the agenda and organization of work

5. At its first meeting, on 15 October 2018, the Conference adopted the provisional agenda contained in document CTOC/COP/2018/1.

6. In its decision 5/2, the Conference decided to establish the Committee of the Whole, the membership of which would be open to all States parties and signatories to the Organized Crime Convention, which would meet during the sessions of the Conference when the President of the Conference so decided to perform such functions as may be requested by the Conference in order to assist the Conference in dealing with its agenda and to facilitate its work and to consider specific items of the agenda and submit its comments and recommendations, including draft resolutions and draft decisions, to the Conference for consideration. On 14 June 2018, the extended Bureau approved the organization of work of the ninth session by silence procedure and noted that, in accordance with past practice, the plenary meeting would be suspended for the purpose of convening the Committee of the Whole.

D. Participation

7. The ninth session of the Conference was attended by representatives of 117 States parties to the Convention and a regional economic integration organization party to the Convention. Also attending the session were observers for one State signatory to the Convention and one non-signatory observer State, an entity maintaining a permanent observer mission to the United Nations, Secretariat units, United Nations bodies, institutes of the United Nations crime prevention and criminal justice programme network, specialized agencies and other organizations of the United Nations system, intergovernmental organizations, non-governmental organizations having consultative status with the Economic and Social Council and relevant non-governmental organizations not having consultative status with the Economic and Social Council that had applied for observer status.

8. The list of participants is contained in document [CTOC/COP/2018/INF/2/Rev.1].

9. Rules 14–17 of the rules of procedure of the Conference, concerning the participation of observers, were brought to the attention of participants in the session.

E. Adoption of the report of the Bureau on credentials

10. Under rule 18 of the rules of procedure, as amended by the Conference in its decision 4/7, credentials of representatives of each State party are to be issued by the Head of State or Government, by the Minister for Foreign Affairs or by the Permanent Representative to the United Nations of the State party in accordance with its domestic law or, in the case of a regional economic integration organization, by the competent authority of that organization. When the Conference is to consider proposals for amendments to the Convention in accordance with article 39 of the Convention and rule 62 of the rules of procedure for the Conference, the credentials are to be issued either by the Head of State or Government or by the Minister for Foreign Affairs of the State party or, in the case of a regional economic integration organization, by the competent authority of that organization.

11. Under rule 19 of the rules of procedure, the Bureau is to examine the credentials of representatives of each State party and the names of the persons constituting the State party's delegation and submit its report to the Conference. Under rule 20 of the rules of procedure, pending a decision of the Bureau on their credentials, representatives are entitled to participate provisionally in the session. Any representative of a State party to whose admission another State party has made objection is to be seated provisionally with the same rights as other representatives until the Bureau has reported and the Conference has given its decision.

12. The Bureau of the Conference considered the issue of credentials at its 1st, [2nd, 3rd, 4th and 5th meetings], on 15, [16, 17, 18 and 19] October 2018. At the [10th] meeting of the Conference, on 19 October 2018, the President, on behalf of the Bureau, informed the Conference that, of the [x] States parties represented at the ninth session, [xx] States parties had complied with the credentials requirements and [xx] States parties had not complied with the credentials requirements.

13. The Conference adopted the report of the Bureau on credentials at its [...] meeting, on [...] October 2018.

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II. General discussion

1. At its 3rd and 4th meetings, on 16 October 2018, the Conference considered agenda item 1 (f), entitled "Organizational matters: general discussion".

2. The Conference heard statements by the representatives of Thailand, France, Chile, the United States of America, Tunisia, Ecuador, Argentina, Spain, Switzerland, Israel, Kuwait, Norway, Algeria, the Republic of Korea, Belarus, Iraq, Portugal, Fiji, the State of Palestine, Nepal, Nigeria, the Bolivarian Republic of Venezuela, Lebanon, Kenya, Costa Rica, the Philippines, Liechtenstein, Armenia, Bangladesh, India, the United Republic of Tanzania, the Plurinational State of Bolivia and Libya.

3. The Conference also heard a statement by the representative of Somalia, an observer State.

4. The Conference further heard a statement by the observers for the International Anti-Corruption Academy, an intergovernmental organization, and the Libyan Transparency Association, a non-governmental organization.

Deliberations

5. Several speakers expressed support for the Organized Crime Convention as an indispensable tool to address transnational organized crime. Speakers shared information on national efforts to establish and strengthen legislative and administrative frameworks aimed at implementing the Convention and the Protocols thereto. Most speakers highlighted the measures their countries had established to enhance the investigation and prosecution of various forms of organized crime, including trafficking in persons, the smuggling of migrants, trafficking in firearms, corruption, obstruction of justice and money-laundering. Several speakers also highlighted national preventive mechanisms to address organized crime. Those included educational and awareness-raising programmes targeting vulnerable groups, including women, young people and children.

6. Several speakers emphasized that national and regional regulatory frameworks had been established that were aimed at combating trafficking in persons, the smuggling of migrants and related offences. Several speakers reported on measures

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taken by their countries to protect and rehabilitate victims of such offences. Some speakers noted that those efforts were pertinent to the observance of international human rights norms and good governance. Some speakers expressed hope that the Global Compact for Safe, Orderly and Regular Migration, which is to be signed in December 2018, will offer solutions to address the challenges posed by those crimes.

7. Speakers reported on national measures developed to address cybercrime, wildlife and environmental crimes, maritime crime, trafficking in cultural property, trafficking in human organs and trafficking in precious metals. Many speakers stated that the Organized Crime Convention remained an essential instrument that assisted States in combating these forms of crime, in particular through its provisions on international cooperation.

8. Some speakers expressed concern about the linkages between organized crime and terrorism, which undermine the social and economic stability of their countries and regions. Some speakers also highlighted the need to take into account these linkages to effectively combat transnational organized crime.

9. Many speakers emphasized the importance of the Convention as a tool to facilitate international cooperation to address transnational organized crime, including through bilateral, regional and international efforts. Some speakers underlined the important role played by various international forums, including the Conference and various regional bodies, as platforms for sharing relevant information and experiences.

10. Many speakers expressed support for the work of the meeting for the purpose of defining the specific procedures and rules for the functioning of the review mechanism for the United Nations Convention against Transnational Organized Crime and the Protocols thereto. Several speakers expressed appreciation for the role played by Pilar Saborío de Rocafort (Costa Rica) and Maria Assunta Accilli Sabbatini (Italy) as co-chairs over the past two years. Many speakers welcomed the continuation of discussions on the establishment of a review mechanism during the ninth session of the Conference with a view to reaching agreement on outstanding issues, such as the participation of civil society in the mechanism and the source of funding for the mechanism. Some speakers stated that it would be important that the Conference adopt the review mechanism at its ninth session.

11. Several speakers expressed appreciation to UNODC for the technical and capacity-building assistance provided to States parties for the implementation of the Organized Crime Convention and the Protocols thereto. Speakers underscored the utility of carrying out institutional reforms and drafting and adopting implementing legislation, as well as of strengthening partnerships and networks among key stakeholders to effectively counter organized crime. Some speakers also requested the Office to continue providing support in those areas, based on the needs of countries for technical assistance.

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Addendum

III. Review of the implementation of the United Nations Convention against Transnational Organized Crime and the Protocols thereto

A. United Nations Convention against Transnational Organized Crime

1. At its 4th meeting, on 16 October 2018, the Conference considered agenda item 2 (a), entitled "Review of the implementation of the United Nations Convention against Transnational Organized Crime and the Protocols thereto: United Nations Convention against Transnational Organized Crime". For its consideration of the item, the Conference had before it the following:

(a) Note by the Secretariat on the reports on the meetings for the purpose of defining the specific procedures and rules for the functioning of the review mechanism for the United Nations Convention against Transnational Organized Crime and the Protocols thereto, held in Vienna from 24 to 26 April 2017, from 30 October to 1 November 2017 and from 21 to 23 March 2018 (CTOC/COP/2018/7);

(b) Note by the Secretariat on the status of adherence to the United Nations Convention against Transnational Organized Crime and the Protocols thereto as at 15 August 2018 (CTOC/COP/2018/CRP.1).

2. A representative of the Secretariat made an introductory statement. Statements were also made by representatives of the European Union, Algeria, Italy, Thailand, Kuwait, Bulgaria, Romania, Indonesia, the United States of America, Burundi, the Gambia, China and Mexico.

3. The observer for the Organization of American States also made a statement.

Deliberations

4. Several speakers reported that the adoption of national legislation to implement the Convention and its Protocols played a key role in furthering law enforcement and international judicial cooperation efforts. In that regard, some speakers stressed that the Convention was flexible in its scope of application and could thus be used to

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address different forms of organized crime, including trafficking in persons, the smuggling of migrants, trafficking in firearms, cybercrime, trafficking in cultural property, wildlife crime, drug trafficking, corruption and money-laundering.

5. Some speakers underscored that the transnational nature of organized crime posed serious challenges for law enforcement and that the effective implementation of the Convention would limit the ability of organized criminal groups to profit from their illicit activities and to cross borders with impunity.

6. A number of speakers commended the work of UNODC in the area of developing tools to promote the effective implementation of the Convention. Speakers shared their national experiences regarding the development of legislation, institutional initiatives and inter-agency coordination for such effective implementation.

7. Speakers reported on efforts to conclude the discussions regarding the mechanism to review implementation of the Convention and its Protocols, with reference to ongoing consultations on a draft resolution addressing that topic that had been submitted for consideration at the present session of the Conference. In that regard, speakers reported progress in overcoming divergent views that had previously hampered the adoption of a mechanism. Many speakers emphasized the fundamental importance of establishing a review mechanism so that States parties could identify gaps in their implementation of the provisions of the instruments, as well as ways to address those challenges, including by identifying technical assistance needs and exchanging good practices.

8. Some speakers stated that the review mechanism should be based on the principles contained in Conference resolutions 5/5 and 8/2. Other speakers underscored that the review should be gradual and that the mechanism should not cause an undue burden and should not unnecessarily duplicate prior information-gathering efforts of the Conference. Regarding the funding model for the mechanism, speakers held various views, such as that there was a need for predictable and stable funding and that core functions should be covered by regular budget resources, to be supplemented by voluntary contributions. Others stated that there should not be an increase in the regular budget and that the use of regular budget resources should not compromise other mandates of the Office. Speakers also expressed different perspectives with regard to the participation of civil society in the review mechanism.

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III. Review of the implementation of the United Nations Convention against Transnational Organized Crime and the Protocols thereto

B. Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children

1. At its 4th and 5th meetings, on 16 and 17 October 2018, the Conference considered agenda item 2 (b), entitled "Review of the implementation of the United Nations Convention against Transnational Organized Crime and the Protocols thereto: Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children". For its consideration of the item, the Conference had before it the following documents:

(a) Report of the Secretariat on the activities of the United Nations Office on Drugs and Crime to promote and support the implementation of the Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children, supplementing the United Nations Convention against Transnational Organized Crime (CTOC/COP/2018/2);

(b) Note by the Secretariat on the reports on the meetings of the Working Group on Trafficking in Persons held in Vienna from 6 to 8 September 2017 and on 2 and 3 July 2018 (CTOC/COP/2018/5).

2. An introductory statement was made by a representative of the Secretariat. A statement was also made by a representative of the Chair of the Working Group on Trafficking in Persons at its seventh and eighth meetings.

3. Statements were made by the representatives of the European Union (also on behalf of its member States), Thailand, Austria, Kuwait, Brazil, Indonesia, Algeria, the United States, Spain, Colombia, India, the United Kingdom, Belarus, France, Argentina, South Africa, Mexico, Nigeria, Mongolia, Peru, Israel, Egypt and the United Arab Emirates.

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4. The observers for the non-governmental organizations Soroptimist International, the Congregation of Our Lady of Charity of the Good Shepherd and the Academic Council on the United Nations System also made statements.

Deliberations

5. The representative of the Chair of the Working Group on Trafficking in Persons at its seventh and eighth meetings, which were held in Vienna from 6 to 8 September 2017 and on 2 and 3 July 2018, referred to the reports on those meetings (CTOC/COP/WG.4/2017/4 and CTOC/COP/WG.4/2018/3) and highlighted that the recommendations adopted at those meetings pertained to effective criminal justice responses to trafficking in persons, the protection and assistance needs of various groups and types of victims, in particular victims of trafficking within mixed migration flows, and the needs and rights of trafficking victims in the context of international cooperation.

6. Many speakers reaffirmed their support for full implementation of the Protocol, noting that it remains the cornerstone for advancing government action against trafficking in persons. Many speakers shared information on recent national actions to enhance legislative frameworks in response to trafficking in persons, as well as prosecutorial and investigative efforts. Many speakers also underlined the importance of regional and international cooperation to combat trafficking in persons.

7. Many speakers provided detailed information about the development of national strategies, plans of action and coordination frameworks, including specialized units, national coordinators and national referral mechanisms for victims of trafficking. Several speakers also referred to the value of engaging the private sector in preventing and combating trafficking in persons, including by fostering partnerships with the media and the aviation industry.

8. Several speakers noted that there was a need to strengthen criminal justice capacity by providing technical assistance relating to intelligence-gathering, risk analysis and the development of interviewing skills. Some speakers provided examples of training events for journalists on trafficking in persons and reporting about it, and of activities aimed at building the capacity of consular staff to detect cases of trafficking in persons. The importance of close cooperation with civil society was also underlined.

9. Many speakers highlighted the paramount need for victim-centred and trauma-informed approaches. They stressed the importance of providing appropriate and sufficient support to victims, including health, medical and legal assistance, as well as of protecting them from intimidation. Several speakers underscored the importance of taking gender into account in combating trafficking in persons, and in doing so alleviate the factors that render women and girls vulnerable to this type of crime. Several speakers highlighted the value of engaging with trafficking survivors to inform and improve anti-trafficking programmes and policies.

10. A number of remaining challenges were noted, including the need to better monitor supply chains, trace financial flows and proceeds of crime, and build stronger evidence-based responses to trafficking in persons.

11. Many speakers commended the work of UNODC as a strategic partner in supporting the implementation of the Trafficking in Persons Protocol, in particular through capacity-building activities. Awareness-raising and outreach were similarly highlighted, and UNODC was commended for continuing efforts to assist States in those areas. The role of UNODC as coordinator of the Inter-Agency Cooperation Group against Trafficking in Persons was also recognized, and one speaker encouraged Member States to support the United Nations voluntary trust fund for victims of trafficking in persons, especially women and children. Many speakers underscored that the Protocol could assist Member States in meeting trafficking-related commitments under the 2030 Agenda for Sustainable Development.

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III. Review of the implementation of the United Nations Convention against Transnational Organized Crime and the Protocols thereto

C. Protocol against the Smuggling of Migrants by Land, Sea and Air

1. At its 5th and 6th meetings, on 17 October 2018, the Conference considered agenda item 2 (c), entitled "Review of the implementation of the United Nations Convention against Transnational Organized Crime and the Protocols thereto: Protocol against the Smuggling of Migrants by Land, Sea and Air". For its consideration of the item, the Conference had before it the following documents:

(a) Report of the Secretariat on the activities of the United Nations Office on Drugs and Crime to promote and support the implementation of the Protocol against the Smuggling of Migrants by Land, Sea and Air, supplementing the United Nations Convention against Transnational Organized Crime (CTOC/COP/2018/3);

(b) Note by the Secretariat on the reports on the meeting of the Working Group on the Smuggling of Migrants held in Vienna from 11 to 13 September 2017 and on 4 and 5 July 2018 (CTOC/COP/2018/6).

2. A representative of the Secretariat made an introductory statement. A statement was also made by the Chair of the Working Group on the Smuggling of Migrants at its fourth and fifth meetings.

3. Statements were made by the representatives of the European Union (also on behalf of its Member States), Brazil, Indonesia, Algeria, the United States, Mexico, Argentina and Egypt.

4. A statement was also made by the observer for Thailand, a State signatory of the Protocol against the Smuggling of Migrants by Land, Sea and Air.

Deliberations

5. The Chair of the Working Group on the Smuggling of Migrants at its fourth and fifth meetings, which were held in Vienna from 11 to 13 September 2017 and on 4 and 5 July 2018, referred to the reports on those two meetings

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(CTOC/COP/WG.7/2017/5 and CTOC/COP/WG.7/2018/3) and the recommendations adopted by the Working Group, which related to the use of the Organized Crime Convention to address challenges relating to the smuggling of migrants, the "financial or other material benefit" aspect of the definition of smuggling of migrants, and criminal justice responses in investigations and prosecutions of perpetrators of smuggling of migrants operations. He added that the Working Group had finalized the questionnaire to review the implementation of the Smuggling of Migrants Protocol and had also recommended its adoption by the Conference.

6. Several speakers encouraged the ratification and full implementation of the Organized Crime Convention and the Smuggling of Migrants Protocol and stressed that those instruments were essential for tackling the challenges posed by those crimes.

7. Many speakers stated that the Smuggling of Migrants Protocol was a key tool for carrying out international cooperation and encouraged the strengthening of international and regional collaboration, including the sharing of trends, challenges and best practices among States. Several speakers highlighted that partnerships with civil society were of particular importance to counter the smuggling of migrants.

8. Several speakers highlighted the need to protect smuggled migrants, including by identifying those in need of protection and assistance at points of arrival. One speaker noted the risks that migrants were subjected to by smuggling networks and underlined the relevance of awareness-raising campaigns and the role of the media in disseminating information about those risks. Another speaker called on States to adopt measures to protect whistle-blowers, witnesses and informers to end the impunity of migrant smugglers.

9. Several speakers stated that there was a need to comprehensively address the linkages between the smuggling of migrants and other forms of crime, including corruption, money-laundering and terrorism, as well as the need to recover the proceeds of those crimes. Several speakers welcomed the efforts of UNODC to strengthen the capacities of criminal justice practitioners in that regard and encouraged further support for related activities carried out by UNODC.

10. Several speakers encouraged the use of human rights-based and gender-sensitive approaches in responding to the smuggling of migrants and expressed their commitment to upholding the human rights and dignity of all smuggled migrants. Several speakers also highlighted the need to analyse and address the underlying drivers that created a demand for the smuggling of migrants.

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III. Review of the implementation of the United Nations Convention against Transnational Organized Crime and the Protocols thereto

D. Protocol against the Illicit Manufacturing of and Trafficking in Firearms, Their Parts and Components and Ammunition

1. At its 6th meeting, on 17 October 2018, the Conference considered agenda item 2 (d), entitled "Review of the implementation of the United Nations Convention against Transnational Organized Crime and the Protocols thereto: Protocol against the Illicit Manufacturing of and Trafficking in Firearms, Their Parts and Components and Ammunition". For its consideration of the item, the Conference had before it the following documents:

(a) Report of the Secretariat on the activities of the United Nations Office on Drugs and Crime to promote and support the implementation of the Protocol against the Illicit Manufacturing of and Trafficking in Firearms, Their Parts and Components and Ammunition, supplementing the United Nations Convention against Transnational Organized Crime (CTOC/COP/2018/4);

(b) Note by the Secretariat on the reports on the meetings of the Working Group on Firearms held in Vienna from 8 to 10 May 2017 and on 2 and 3 May 2018 (CTOC/COP/2018/8).

2. An introductory statement was made by a representative of the Secretariat.

3. Statements were made by the representatives of Algeria, Argentina, Brazil, Kuwait, Mexico, Nigeria, Portugal, Spain, India, Venezuela (Bolivarian Republic of) and the European Union.

4. The representative of France and the observer for the Economic Community of Central African States made statements.

Deliberations

5. On behalf of the Chairs of the Working Group on Firearms at its fifth and sixth meetings, held in Vienna from 8 to 10 May 2017 and on 2 and 3 May 2018, a

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representative of Mexico presented the reports on those two meetings (CTOC/COP/WG.6/2017/4 and CTOC/COP/WG.6/2018/4) and the recommendations adopted by the Working Group.

6. Several speakers underlined the importance of the Firearms Protocol and the Organized Crime Convention as the principal instruments for countering the illicit manufacture of and trafficking in firearms, their parts and components and ammunition, and called upon States that had not yet done so to become a party to the Protocol. Others noted the importance of implementing the Firearms Protocol in synergy with other relevant instruments such as the Arms Trade Treaty, the Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects, and the International Instrument to Enable States to Identify and Trace, in a Timely and Reliable Manner, Illicit Small Arms and Light Weapons.

7. Some speakers, while noting that the primary responsibility for fully implementing the Firearms Protocol and combating trafficking in firearms rested with States, emphasized the importance of cooperation and dialogue among States and relevant stakeholders.

8. Many speakers underlined the links between trafficking in firearms on the one hand and other forms of serious and organized crime, in particular drug trafficking, trafficking in persons and terrorism, on the other. They highlighted the negative impact of illicit firearms on national, regional and global security, peace and development, as well as humanitarian and stabilization efforts. In addition, one speaker identified illicit firearms as a key factor that facilitated trafficking in natural resources, such as minerals and timber.

9. Many speakers provided an overview of national and regional efforts to prevent and combat the illicit manufacturing of and trafficking in firearms, their parts and components and ammunition. These included integrated strategies and action plans to address those types of crime and the establishment of: appropriate institutions and specialized firearms trafficking units within the police and the judiciary; appropriate legislation and appropriate regimes to control firearms; comprehensive record-keeping systems; enhanced cooperation and the exchange of information at the bilateral, regional and international levels, as well as among national security services; joint task forces composed of different security services to enhance border control; collection campaigns to encourage the voluntary and anonymous surrender of weapons; specialized training sessions on investigating and prosecuting trafficking in firearms, and training sessions for strategic decision makers on firearms issues; and cooperation with civil society, community involvement and dedicated awareness-raising programmes.

10. Speakers expressed the growing concern with regard to emerging trends and challenges, including the illicit reactivation of deactivated firearms, the conversion of non-lethal weapons into real firearms, the unlicensed assembly of firearms from parts and components and the use of modern technologies to manufacture firearms without authorization. They underlined the need to address the legal loopholes that allowed those activities to take place.

11. Several speakers identified concrete needs for enhanced action by stakeholders, in particular in the areas of international cooperation, tracing and the exchange of information; the marking of firearms, their parts and components; the use of information on firearm seizures to uncover strategic nodes of criminal organizations; the need for countries receiving tracing requests to conduct more systematic investigations into trafficking in firearms; and the need to enhance capacities to collect and analyse data on firearms.

12. Several speakers expressed their support for the work of UNODC and its Global Firearms Programme. In particular, they referred to the legislative and technical assistance provided in the form of, for example, the ongoing firearms data collection initiative, the cooperation between the Office and other international and regional

bodies with a mandate relating to firearms, and the substantive contribution of the Office to other intergovernmental processes relating to firearms. Speakers outlined concrete examples of cooperation.

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Addendum

IV. Other serious crimes, as defined in the Convention, including new forms and dimensions of transnational organized crime

1. At its 6th and 7th meetings, on 17 and 18 October 2018, the Conference considered agenda item 3, entitled "Other serious crimes, as defined in the Convention, including new forms and dimensions of transnational organized crime".

2. An introductory statement was made by a representative of the Secretariat.

3. Statements were made by the representatives of Kuwait, Brazil, Indonesia, Algeria, Thailand, India, France, South Africa, Qatar, the United States, Honduras (also on behalf of El Salvador and Guatemala), Colombia, China and Egypt.

4. The Conference also heard a statement by the observer for the Islamic Republic of Iran, a signatory State.

Deliberations

5. Many speakers reiterated that the Organized Crime Convention was a flexible and adaptable instrument for addressing new and emerging forms of crime. Some speakers recalled the Doha Declaration on Integrating Crime Prevention and Criminal Justice into the Wider United Nations Agenda to Address Social and Economic Challenges and to Promote the Rule of Law at the National and International Levels, and Public Participation,[1] in which Member States had committed themselves to enhancing their efforts to prevent and counter new and emerging forms of crime. Several speakers expressed concern about the threats posed by new and emerging forms of crime, which were increasingly undermining the social and economic stability of countries and hindering efforts to achieve the Sustainable Development Goals. Some speakers made reference to linkages between new and emerging forms of crime and terrorism.

6. Several speakers highlighted the challenges related to combating cybercrime. One of those was the effect that cybercrime had on other forms of organized crime. Many speakers drew attention to measures taken by States to improve their national

[1] General Assembly resolution 70/174, annex.

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regulatory and operational capacity to fight cybercrime. Some speakers, while recognizing the importance of bilateral and regional instruments, called for a new multilateral instrument on cybercrime under the auspices of the United Nations. Other speakers expressed the view that the existing international instruments, including the Organized Crime Convention and the Council of Europe Convention on Cybercrime, provided a sufficient normative framework to support countries in addressing cybercrime and fostering international cooperation to counter it.

7. Speakers commended the work of the open-ended intergovernmental Expert Group to Conduct a Comprehensive Study on Cybercrime and welcomed its 2018–2021 workplan. Some speakers expressed appreciation to UNODC for its capacity-building programmes aimed at improving the criminal justice responses of Member States to effectively respond to cybercrime.

8. Many speakers stressed the linkages between environmental crime and other forms of transnational organized crime. Some speakers emphasized the importance of countering fisheries crime and ensuring safety at sea. In that regard, the importance was noted of utilizing the Organized Crime Convention, as well as relevant regional instruments. Several speakers called for countries to make concerted efforts to counter wildlife crime and commended the technical assistance support provided by UNODC, including the development of the guide on drafting legislation to combat wildlife crime.

9. Many speakers underscored the need to strengthen efforts aimed at combating trafficking in cultural property, including by adopting dissuasive penalties for related offences. In that regard, several speakers encouraged the use of the International Guidelines for Crime Prevention and Criminal Justice Responses with Respect to Trafficking in Cultural Property and Other Related Offences. Some speakers stressed the need for an international instrument that would address trafficking in cultural property. One speaker suggested that the Conference could consider studying, in cooperation with the United Nations Educational, Scientific and Cultural Organization (UNESCO), the phenomenon of trafficking in cultural property by organized criminal groups and appropriate responses to it.

10. Speakers called for the strengthening and the harmonization of legislation and stressed the need to criminalize offences related to maritime piracy, falsified medical products, the illicit mining of and trafficking in precious metals, and trafficking in human organs. Furthermore, some speakers called for the continued use of mechanisms provided under the Organized Crime Convention, such as cooperation through designated central authorities and joint law enforcement operations, to acquire timely and sufficient information to prevent and counter those forms of crime. Some speakers also shared their experiences in cooperating with foreign counterparts and the private sector to address new and emerging forms of crime.

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Ninth session
Vienna, 15–19 October 2018

Draft report

Rapporteur: Maite Fernández García (Argentina)

Addendum

V. International cooperation, with particular emphasis on extradition, mutual legal assistance and international cooperation for the purpose of confiscation, and the establishment and strengthening of central authorities

1. At its 7th meeting, on 18 October 2018, the Conference considered agenda item 4, entitled "International cooperation, with particular emphasis on extradition, mutual legal assistance and international cooperation for the purpose of confiscation, and the establishment and strengthening of central authorities". For its consideration of the item, the Conference had before it the following documents:

(a) Report of the Secretariat on the activities of the United Nations Office on Drugs and Crime to promote the implementation of the provisions on international cooperation in the United Nations Convention against Transnational Organized Crime (CTOC/COP/2018/10);

(b) Note by the Secretariat on the reports on the meetings of the Working Group on International Cooperation and the Working Group of Government Experts on Technical Assistance held in Vienna from 9 to 13 October 2017 and from 28 to 31 May 2018 (CTOC/COP/2018/9).

2. An introductory statement was made by a representative of the Secretariat.

3. The Chair of the Working Group on International Cooperation briefed the Conference about the work of the Working Group within the period between the eighth and ninth sessions of the Conference.

4. Statements were made by the representatives of Algeria, Colombia, Egypt, India, Indonesia, Israel, Kazakhstan, Kuwait, Mexico, Philippines, the Russian Federation, South Africa, the Sudan, Thailand and the United States.

5. A statement was also made by the observer for the Islamic Republic of Iran, a signatory State.

Please recycle

Deliberations

6. Many speakers reported on the legal frameworks of their countries that regulated international cooperation in criminal matters, including extradition and mutual legal assistance, as well as on applicable bilateral and regional treaties and agreements in that field. Some speakers referred to ongoing reforms of their national legal frameworks being carried out in order to keep up to date with developments in the field of international cooperation and to ensure harmonization with the Organized Crime Convention. Some speakers made reference to national practices such as the use of appropriate guidelines and institutional arrangements, including the establishment of specialized units in charge of specific forms of cooperation. Many speakers placed emphasis on the work of the designated central authorities in their countries responsible for dealing with international cooperation requests.

7. Many speakers highlighted the added value of the Convention as a legal basis for international cooperation. The increasing reliance on the Convention for the purposes of international cooperation was highlighted, as was the established practice, as one speaker emphasized, of using the Convention as a legal basis for extradition and mutual legal assistance for a variety of crimes and for the increasing number of forms of cooperation and types of assistance requested. One speaker referred to the usefulness of the Convention in addressing the links between transnational organized crime and terrorism.

8. Many speakers referred to the ability of their countries to engage in international cooperation in criminal matters on the basis of reciprocity. A number of speakers underlined the need for adopting and implementing simplified extradition procedures to expedite cooperation in that field.

9. Many speakers reported on good practices to facilitate improved international cooperation, including the promotion of networking, the establishment and maintenance of direct contacts among central authorities, the enhanced practice of exchange of information, the placement of liaison officers abroad, and the establishment of working groups among practitioners to exchange views and experience.

10. A number of speakers referred to consultations between cooperating States in order to prevent the refusal of requests, and to provide diplomatic assurances of the provision of cooperation where there was a need to ensure that the person sought would be treated in the requesting State in accordance with international human rights standards.

11. Some speakers shed light on the importance of robust, efficient and effective asset forfeiture and recovery regimes, including international cooperation mechanisms to control illicit financial flows and enable the repatriation of illegal assets to the countries of origin. It was noted that in establishing such regimes, States should accord high priority to strengthening the relevant capacity of competent authorities, bearing in mind the need to respect national sovereignty and the autonomy of national legal systems.

12. Speakers reported on challenges encountered in the field of international cooperation such as the lack of political will, differences between national legal systems, the non-extradition of nationals, language and translation barriers, limited legal and institutional resources, and difficulties in countering the methods of sophisticated organized criminal groups operating across borders.

13. Emphasis was placed on the need for training and capacity-building activities to enhance the skills of judges and practitioners in competent institutions, as well as law enforcement authorities, for dealing effectively with international cooperation. The importance of meaningful and results-oriented technical assistance was underlined, together with the positive impact of the work of UNODC in this field, including through such tools as the Mutual Legal Assistance Request Writer Tool and the directory of competent national authorities.

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Rapporteur: Maite Fernández García (Argentina)

Addendum

VI. Technical assistance

1. At its 7th meeting, on 18 October 2018, the Conference considered agenda item 5, entitled "Technical assistance". For its consideration of the item, the Conference had before it the following documents:

(a) Note by the Secretariat on the reports on the meetings of the Working Group on International Cooperation and the Working Group of Government Experts on Technical Assistance held in Vienna from 9 to 13 October 2017 and from 28 to 31 May 2018 (CTOC/COP/2018/9);

(b) Report of the Secretariat on the provision of technical assistance to States in the implementation of the United Nations Convention against Transnational Organized Crime and the Protocols thereto (CTOC/COP/2018/11).

2. A representative of the Secretariat made an introductory statement. Statements were made by the representatives of the Syrian Arab Republic, China, the United States and Colombia.

Deliberations

3. Under agenda item 4, the Chair of the Working Group of Government Experts on Technical Assistance at its eleventh meeting introduced the recommendations that had been adopted by the Working Group.

4. All speakers acknowledged and expressed appreciation for the technical assistance work of UNODC through its country, regional and global programmes. Speakers also encouraged States to deliver bilateral and regional technical assistance. One speaker recognized the need to improve coordination mechanisms for technical assistance delivery.

5. Speakers noted that in order to meet the demand, technical assistance had to be evidence-based and based on identified needs. One speaker requested assistance for the involvement of civil society in combating organized crime in that State. Another speaker mentioned the need to respect sovereignty and self-determination in the delivery of technical assistance.

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6. One speaker highlighted the need to achieve Sustainable Development Goal 16 ("Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels"). The speaker reiterated that to achieve Goal 16, it was important to create a culture of lawfulness, as outlined in the Doha Declaration, in order to establish a stable environment where citizens could exercise their rights, and with transparent institutions that respected those rights.

7. Several speakers emphasized that technical assistance was an integral component of, and sometimes a prerequisite for, the implementation of the Organized Crime Convention and the Protocols thereto. One speaker reiterated the need for legislative assistance, recognizing that legislative gaps still persisted. Another speaker highlighted the importance of specialized training as one of the key components of capacity-building in countering all forms of organized crime.

8. Speakers noted the importance of regional and interregional cooperation in countering organized crime and welcomed the efforts of UNODC to promote that cooperation. Speakers also welcomed with appreciation the technical assistance tools developed by UNODC, notably the Mutual Legal Assistance Request Writer Tool. The need for technical assistance in using those tools was reiterated. One speaker called upon States to update their information in the directory of competent national authorities, available under the knowledge management portal known as Sharing Electronic Resources and Laws on Crime (SHERLOC).

9. Finally, one speaker concluded that technical assistance was not about the number of events held but, rather, about the impact it had. The speaker recalled the efforts of men and women who combated organized crime, sometimes sacrificing their own lives, and how States should learn from one another and put those lessons in practice.

V.18-07102

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Rapporteur: Maite Fernández García (Argentina)

Addendum

VII. Financial and budgetary matters

1. At its 8th meeting, on 18 October 2018, the Conference considered agenda item 6, entitled "Financial and budgetary matters". For its consideration of the item, the Conference had before it the note by the Secretariat on financial and budgetary matters (CTOC/COP/2018/12).

2. A representative of the Secretariat made an introductory statement.

V.18-07114 (E)

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United Nations CTOC/COP/2018/L.1/Add.10

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Vienna, 15–19 October 2018

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Rapporteur: Maite Fernández García (Argentina)

Addendum

VIII. Provisional agenda for the tenth session of the Conference

1. At its 8th meeting, on 18 October 2018, the Conference considered agenda item 7, entitled "Provisional agenda for the tenth session of the Conference". The draft provisional agenda for the tenth session of the Conference had been drawn up by the Secretariat in consultation with the Bureau, pursuant to rule 8 of the rules of procedure.

Action taken by the Conference

2. At its 8th meeting, on 18 October 2018, the Conference adopted the provisional agenda for the tenth session of the Conference. (For the text, see chapter [xx], section [xx], decision [xx].) The Conference decided that its tenth session would take place from 12 to 16 October 2020.

3. At the same meeting, the Conference adopted a draft decision (CTOC/COP/2018/L.3) that had been submitted by the extended Bureau. (For the text, see chapter [xx], section [xx], decision [xx].) Prior to the adoption of the decision, a representative of the Secretariat read out a statement on its financial implications.

V.18-07134 (E)

Please recycle

United Nations CTOC/COP/2018/L.1/Add.11

Conference of the Parties to the United Nations Convention against Transnational Organized Crime

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Rapporteur: Maite Fernández García (Argentina)

Addendum

IX. Other matters

1. At its 8th meeting, on 18 October 2018, the Conference considered agenda item 8, entitled "Other matters".

V.18-07140 (E)

Please recycle

Conference of the Parties to the United Nations Convention against Transnational Organized Crime

Distr.: Limited
1 August 2018

Original: English

Ninth session
Vienna, 15–19 October 2018
Item 7 of the provisional agenda*
Provisional agenda for the tenth session of the Conference

Draft decision submitted by the extended Bureau

Provisional agenda for the tenth session of the Conference

The Conference of the Parties to the United Nations Convention against Transnational Organized Crime approves the provisional agenda for the tenth session of the Conference set out below.

Provisional agenda for the tenth session of the Conference of the Parties to the United Nations Convention against Transnational Organized Crime

1. Organizational matters:
   (a) Opening of the tenth session of the Conference;
   (b) Election of officers;
   (c) Adoption of the agenda and organization of work;
   (d) Participation;
   (e) Adoption of the report of the Bureau on credentials;
   (f) General discussion.
2. Review of the implementation of the United Nations Convention against Transnational Organized Crime and the Protocols thereto:
   (a) United Nations Convention against Transnational Organized Crime;
   (b) Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children;
   (c) Protocol against the Smuggling of Migrants by Land, Sea and Air;
   (d) Protocol against the Illicit Manufacturing of and Trafficking in Firearms, Their Parts and Components and Ammunition.
3. Other serious crimes, as defined in the Convention, including new forms and dimensions of transnational organized crime.

* CTOC/COP/2018/1.

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4. International cooperation, with particular emphasis on extradition, mutual legal assistance and international cooperation for the purpose of confiscation, and the establishment and strengthening of central authorities.

5. Technical assistance.

6. Financial and budgetary matters.

7. Provisional agenda for the eleventh session of the Conference.

8. Other matters.

9. Adoption of the report of the Conference on its tenth session.

V.18-05288

Conference of the Parties to the United Nations Convention against Transnational Organized Crime

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2 August 2018

Original: English

Ninth session
Vienna, 15–19 October 2018
Item 7 of the provisional agenda*
Provisional agenda for the tenth session of the Conference

Draft decision submitted by the extended Bureau

Organization of the work of the tenth session of the Conference of the Parties to the United Nations Convention against Transnational Organized Crime

The Conference of the Parties to the United Nations Convention against Transnational Organized Crime, taking into account rule 3, paragraph 3, of the rules of procedure for the Conference:

(a) Decides that the tenth session of the Conference should take place over five working days, that the number of meetings should remain the same as for the previous sessions, that is, 20 meetings, with interpretation in the six official languages of the United Nations, and that a decision should be taken at the end of the tenth session on the duration of the eleventh session;

(b) Requests that the resources allocated to the Conference should be maintained at the same level, and should be made available for, inter alia, any working groups or committee of the whole established by the Conference.

* CTOC/COP/2018/1.

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United Nations CTOC/COP/2018/L.4

Conference of the Parties to the United Nations Convention against Transnational Organized Crime

Distr.: Limited
2 October 2018

Original: English

Ninth session
Vienna, 15–19 October 2018
Item 2 of the provisional agenda*
Review of the implementation of the United Nations Convention against Transnational Organized Crime and the Protocols thereto

Costa Rica, France and Italy: draft resolution

Establishment of the Mechanism for the Review of the Implementation of the United Nations Convention against Transnational Organized Crime and the Protocols thereto

The Conference of the Parties to the United Nations Convention against Transnational Organized Crime,

Recalling that the United Nations Convention against Transnational Organized Crime and the Protocols thereto[1] represent the principal worldwide legal instruments to combat the scourge of transnational organized crime, which affects individuals and societies in all countries, and reaffirming their importance as the main tools available to the international community for this purpose,

Reaffirming that the purpose of the Convention and the Protocols thereto is, inter alia, to promote cooperation to prevent and combat transnational organized crime more effectively, and stressing the need to take additional concerted action to reinforce the implementation of the Convention and the Protocols thereto by States parties and to identify related technical assistance needs,

Recalling article 32 of the Convention, pursuant to which the Conference of the Parties to the United Nations Convention against Transnational Organized Crime was established to improve the capacity of States parties to combat transnational organized crime and promote and review the implementation of the Convention,

Reaffirming its decision 1/2 of 7 July 2004, in which the Conference decided to carry out the functions assigned to it in article 32 of the Convention,

* CTOC/COP/2018/1.

[1] United Nations, *Treaty Series*, vols. 2225, 2237, 2241 and 2326, No. 39574.

Please recycle

Recalling that in article 32 of the Convention it is stated that the Conference of the Parties shall agree upon mechanisms for achieving, inter alia, the objective of periodically reviewing the implementation of the Convention,

Recalling also in that regard its resolutions 5/1 of 22 October 2010, 5/5 of 22 October 2010, 6/1 of 19 October 2012, and 7/1 of 10 October 2014,

Recalling further its resolution 8/2 of 21 October 2016 in which it decided to continue the process of establishing the mechanism for the review of the implementation of the United Nations Convention against Transnational Organized Crime and the Protocols thereto and to elaborate specific procedures and rules for the functioning of the mechanism for consideration and adoption by the Conference at its ninth session,

Taking note of relevant General Assembly resolutions, including resolution 72/196 of 19 December 2017, entitled "Strengthening the United Nations crime prevention and criminal justice programme, in particular its technical cooperation capacity", in which the Assembly welcomed with appreciation the decision of the Conference of the Parties to the Convention at its eighth session to continue the process of establishing a mechanism for the review of the implementation of the Convention and the Protocols thereto,

Recalling articles 2 and 37 of the Convention concerning, respectively, the use of terms and the relation between the Convention and the Protocols thereto, as well as the common article 1 of each Protocol thereto,

Recalling also articles 29 and 30 of the Convention, and stressing the connections between the review of the implementation of the Convention and the Protocols thereto and the technical assistance programmes provided to requesting States parties and international cooperation, with a view to combating transnational organized crime,

1. *Takes note with appreciation* of the work of the open-ended intergovernmental meeting for the purpose of defining the specific procedures and rules for the functioning of the review mechanism for the United Nations Convention against Transnational Organized Crime and the Protocols thereto, which was convened in Vienna from 24 to 26 April 2017, from 30 October to 1 November 2017, and from 21 to 23 March 2018;

2. *Adopts*, subject to the provisions of the present resolution, the Procedures and Rules for the Functioning of the Mechanism for the Review of the Implementation of the United Nations Convention against Transnational Organized Crime and the Protocols thereto, contained in the annex to the present resolution;[2]

3. *Decides* to launch the preparatory phase of the review process in accordance with the thematic clusters and multi-year workplan contained in tables 1 and 2 contained in the appendix to the Procedures and Rules;

4. *Takes note with appreciation* of the progress made by the working groups in the definition of the self-assessment questionnaires for the review of the implementation of the Convention and the Protocols thereto,[1] as mandated by the Conference in its resolution 8/2;

[2] Bearing in mind the sui generis nature of the Holy See, that State party is not to be subject to the Mechanism established by the present resolution, without prejudice to its obligations under the Convention, in particular those under article 32.

5. *Adopts* the self-assessment questionnaire finalized by the Working Group on the Smuggling of Migrants as the basis for the review process of the Protocol against the Smuggling of Migrants by Land, Sea and Air;

6. *Requests* the United Nations Office on Drugs and Crime to convene, within existing resources from the regular budget and without prejudice to other mandated activities, at least one joint meeting of the working groups for the purpose of finalizing and harmonizing, as necessary, the self-assessment questionnaires during the preparatory phase for consideration by the Conference at its tenth regular session;

7. *Requests* the Secretariat to take the measures necessary to define the organizational matters envisaged in the preparatory phase of the review process, including the development of a secure module within the knowledge management portal known as Sharing Electronic Resources and Laws on Crime, and the preparation of guidelines for conducting the country reviews and a blueprint for the desk review report, for consideration by the Conference at its tenth regular session;

8. *Also requests* the Secretariat to prepare, for consideration by the Conference at its regular sessions, proposals for biennial budgets for the activities of the Mechanism;

9. *Requests* the Secretary-General, under future budget cycles, to consider ways to reprioritize existing resources of the United Nations to ensure the efficient, continued and impartial functioning of the Mechanism;

10. *Invites* Member States and other donors to provide extrabudgetary resources for the purposes set out in the present resolution, in accordance with the rules and procedures of the United Nations.

Annex

Procedures and Rules for the Functioning of the Mechanism for the Review of the Implementation of the United Nations Convention against Transnational Organized Crime and the Protocols thereto

Preamble

1. Pursuant to article 4, paragraph 1,[3] and article 32, paragraph 3, of the United Nations Convention against Transnational Organized Crime, together with articles 2 and 37 of the Convention and common article 1 of each Protocol thereto and recalling its resolution 8/2, the Conference of the Parties to the United Nations Convention against Transnational Organized Crime establishes the following mechanism to review implementation of the Convention and the Protocols thereto (hereinafter referred to as "the Mechanism").

I. Introduction

2. The Mechanism embodies a review process for the Convention and Protocols thereto that shall be guided by the principles and characteristics contained in section II below and be carried out in accordance with the provisions contained in section V. The Mechanism shall be facilitated by a secretariat as set out in section VI.

II. Guiding principles and characteristics of the Mechanism

3. The Mechanism shall:

(a) Be transparent, efficient, non-intrusive, inclusive and impartial;

(b) Not produce any form of ranking;

(c) Provide opportunities to share good practices and challenges;

(d) Assist States parties in the effective implementation of the Convention and, where applicable, the Protocols thereto;

(e) Take into account a balanced geographical approach;

(f) Be non-adversarial and non-punitive and promote universal adherence to the Convention and its Protocols;

(g) Base its work on clear, established guidelines for the compilation, production and dissemination of information, including addressing issues of confidentiality and the submission of the outcome to the Conference, which is the competent body to take action on such an outcome;

(h) Identify, at the earliest possible stage, difficulties encountered by States parties in the fulfilment of their obligations under the Convention and its Protocols, as applicable, and good practices adopted in efforts by States parties to implement the Convention and, where applicable, the Protocols thereto;

[3] Which provides that States parties shall carry out their obligations under the United Nations Convention against Transnational Organized Crime in a manner consistent with the principles of sovereign equality and territorial integrity of States and that of non-intervention in the domestic affairs of other States.

(i) Be of a technical nature and promote constructive collaboration, inter alia, on issues concerning international cooperation, prevention, protection of witnesses and assistance and protection for victims;

(j) Complement existing relevant international and regional review mechanisms so that the Conference may, as appropriate, cooperate with those mechanisms and avoid duplication of efforts;

(k) Be an intergovernmental process;

(l) Be conducted in conformity with article 4 of the Convention, not serve as an instrument for interfering in the domestic affairs of States parties and be conducted in a non-political and non-selective manner and respect the principle of equality and sovereignty of States parties;

(m) Promote the implementation of the Convention and its Protocols by States parties, as applicable, as well as cooperation among States parties;

(n) Provide opportunities to exchange views, ideas and good practices, thus contributing to strengthening cooperation among States parties in preventing and fighting transnational organized crime;

(o) Take into account the levels of development of States parties, as well as the diversity of judicial, legal, political, economic and social systems and differences in legal traditions;

(p) Endeavour to adopt a progressive and comprehensive approach, given that the review of implementation of the Convention is an ongoing and gradual process.

III. Efficiency of the Mechanism

4. The Mechanism shall be cost-effective, concise and user-friendly; and make optimal and efficient use of existing information, tools, resources and technology so that it would not impose undue burdens upon States parties, their central authorities and experts involved in the review process.

IV. Relationship of the Mechanism with the Conference of the Parties

5. The review of implementation of the Convention and the Protocols thereto and the Mechanism shall be under the authority of the Conference, in accordance with article 32 of the Convention.

6. The Conference may conduct an evaluation of the organization, functioning, funding, and performance of the review process, so as to amend and improve the existing Mechanism at any time.

V. Review process

A. Goals

7. Consistent with the Convention, in particular article 32, the review process, inter alia, shall assist the Conference to:

(a) Promote the purposes of the Convention and the Protocols thereto, as set out in article 1 of the Convention and article 2 of each of the Protocols;

(b) Improve the capacity of States parties to prevent and combat transnational organized crime and to promote and review the implementation of the Convention and the Protocols thereto;

(c) Help States parties to identify and substantiate specific needs for technical assistance and to promote and facilitate the provision of technical assistance upon their request;

(d) Gather information on national legislation, successes, good practices and challenges of States parties in implementing and using the Convention and the Protocols thereto, and to promote and facilitate the exchange of this information;

(e) Promote international cooperation as stipulated in the Convention and the Protocols thereto;

(f) Acquire the necessary knowledge of the measures taken by States parties in implementing the Convention and the difficulties encountered by them in doing so through information provided by them.

B. Review process

8. The Mechanism shall be applicable to all States parties to the Convention and to each of the Protocols they are parties to. It shall progressively address all the articles of the Convention and the Protocols thereto. It shall be structured on thematic clusters of articles based on their subject matter, as indicated in table 1 contained the appendix. The review shall be a gradual process consisting of one preparatory phase (years 1 and 2) and four subsequent review phases (years 3–12).

9. For each group of States parties as set forth in paragraph 16, the advancement to the next review phase is conditional upon the completion of 70 per cent of the reviews foreseen at the beginning of the previous phase, unless the Conference decides otherwise.

10. For each group of States parties as set forth in paragraph 16, the implementation of the Convention and the Protocols thereto must be reviewed under the same thematic cluster at the same time.

11. The review process shall be composed of a general review that will be undertaken in the Plenary of the Conference of the Parties, and of country reviews that will be conducted through desk reviews. The Conference and its working groups shall add the matter to their agendas as an item consistent with their areas of expertise and without prejudice to their respective existing mandates. Taking into consideration the progressive nature of the review set forth in paragraph 8, the content of the agendas and scheduling of the meetings of the working groups will be decided by the Conference or the extended Bureau in a timely manner. In order to ensure that the working groups may contribute to the review mechanism while also carrying out their respective existing mandates, each working group should dedicate no more than one agenda item per session to matters pertaining to the functioning of the review process.

12. The purpose of the general review will be to facilitate the exchange of experiences, lessons learned, good practices and challenges encountered in implementing provisions of the Convention and Protocols with a view to improving the implementation of the Convention and Protocols.

13. The purpose of the desk reviews shall be to identify gaps in implementation and recommend measures to be taken, including the identification of technical assistance needs, where necessary. Discussions pertaining to desk reviews will be undertaken in the relevant working groups.

14. The preparatory phase (years 1 and 2) shall be devoted to the definition of organizational matters, including the preparation of the guidelines for conducting the country review and the blueprint for the desk review reports, and the finalization, in accordance with paragraph 18 of the present procedures and rules, of the self-assessment questionnaire for each of the instruments. This preparatory phase shall also be used to ensure the optimal and efficient use of existing information, tools, resources and technology as part of the review process. The four review phases shall be held from year 3 to year 12. For each group of States parties as set forth in paragraph 16, they shall last two years each. The four review phases shall be conducted and concluded in line with the multi-year workplan contained in table 2 contained in the appendix.

15. The Conference may decide to make amendments to the multi-year workplan if doing so is deemed appropriate in the light of the efficient functioning of the Mechanism. The relevant working groups may recommend to the Conference adjustments to the multi-year workplan.

16. The selection of States parties participating in the desk reviews shall be carried out by the drawing of lots at the beginning of the review process, staggered in three consecutive years. Each year one third of the States parties to the Convention will be selected to be reviewed for all the instruments they are parties to, in accordance with paragraphs 28 and 29 of the present procedures and rules. If possible, the number of States parties from each regional group to be selected for review in a given year shall be proportionate to the size of that regional group.

17. Each State party shall appoint a focal point to coordinate its participation in the review, and make this information available on the knowledge management portal known as Sharing Electronic Resources and Laws on Crime (SHERLOC). In case a State party has not appointed a focal point by the time of the drawing of the lots referred to in paragraph 28, all communications will be submitted to the permanent representative to the United Nations Office in Vienna, permanent representative to the United Nations Office in Geneva, or the permanent representative to the United Nations in New York, in that order, who shall act as temporary focal point.

C. Information-gathering

18. In order to review each thematic cluster of articles of the Convention and Protocols thereto, the working groups shall finalize, during the preparatory phase and with the assistance of the Secretariat, short, precise and focused self-assessment questionnaires for the review of implementation of each instrument. Provisions of the Convention that apply to the Protocols, mutatis mutandis, will be reviewed under the Convention only. In responding to the questionnaires, States parties are invited to provide complete, up-to-date, accurate and timely information in one of the working languages of the Mechanism, in accordance with Section VII. The responses to the questionnaires and the lists of observations indicated in paragraph 37, when available, shall be the basis for a general report of trends, patterns and best practices to be prepared — or updated as appropriate — by the Secretariat for consideration by the Conference at its regular sessions. The responses to the questionnaires shall be the basis for the desk review, without prejudice to information or clarification requested by the reviewing States parties and provided by the State party under review.

19. Each State party under review shall provide the responses to the self-assessment questionnaire to the reviewing States parties through the secure module of SHERLOC established in line with paragraph 20. Upon request, the Secretariat shall facilitate the States parties uploading information by assisting them with e-training, instructions, advice, credentials.

20. The self-assessment questionnaire shall be available on SHERLOC. A new secure module shall be developed as a further component of SHERLOC to host the questionnaires and responses thereto, which shall ensure the full confidentiality of all data submitted by States parties. The module shall include a secure written communications platform for the ensuing dialogue between the State party under review and the reviewing States parties, and archive capabilities.

21. When responding to the self-assessment questionnaires, States parties may also refer to information provided in the context of other relevant review mechanisms of instruments to which they are parties. States parties shall bear in mind that any update since previous submissions of information under other review mechanisms are appropriately reflected in the responses. In particular, when reviewing the same legislation for obligations which are identical or similar to those under the United Nations Convention against Corruption, a State party under review may submit the same responses and additional documentation that it has submitted under the review mechanism of the United Nations Convention against Corruption.

22. The State party under review is strongly encouraged to prepare its responses to the self-assessment questionnaire through broad consultations at the national level with all relevant stakeholders, including, where appropriate, the private sector, individuals and groups outside the public sector, non-governmental organizations and academia, taking into consideration the specificities of the Convention and the Protocols thereto.

23. When reviewing provisions related to the prevention and the assistance and protection of victims of crime, as covered by article 6, paragraph 3, and article 9, paragraph 3 of the Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children and article 14, paragraph 2 of the Protocol against the Smuggling of Migrants by Land, Sea and Air, States under review are encouraged to facilitate contacts, as appropriate, between reviewing States and non-governmental organizations, other relevant organizations and other elements of civil society which cooperate in the implementation of such provisions.

24. The Secretariat shall be responsible for adjusting and maintaining SHERLOC to serve as the user-friendly database for collecting and disseminating information on the review mechanism.

D. Conduct of the desk review

25. The desk review shall consist of a single review for each State party of its implementation of the Convention and of each Protocol it is party to. It shall be conducted in phases, with each phase beginning with the completion by the State party under review of the relevant sections of the self-assessment questionnaire on its implementation of each instrument to which it is a party.

26. The responses to the self-assessment questionnaire and any additional information provided by the State party under Review, including reference to relevant legislation, shall be reviewed by two other States that are parties to the relevant instruments, with the active involvement of the State party under review.

27. Each State party shall, for the purposes of the review, designate one or more governmental experts with expertise relevant to the instruments it is party to and make this information available on SHERLOC.

28. At the beginning of the review process, a joint intersessional meeting of the working groups without interpretation shall draw lots to select as reviewing States one State from the regional group of the State party under review and one State from another regional group, with the understanding that States shall not undertake mutual

reviews and that reviewing States shall be parties to the same instruments as the State under review. If possible, one of the reviewing States parties shall have a legal system similar to that of the State under review. The two reviewing States shall serve as such for the duration of the review process for each State party under review through four subsequent review phases. In case a reviewing State is not party to all the instruments to which the State under review is party, an additional reviewing State shall be selected only for those instruments. The State party under review and the reviewing States may request a maximum of two times each that the drawing of lots be repeated. In exceptional circumstances, the drawing of lots may be repeated more than twice. If needed, the drawing of the lots may be repeated at a subsequent intersessional meeting.

29. By the end of the review process, each State party must have undergone its own review and performed a minimum of one review and a maximum of three reviews. On a voluntary basis, States parties may participate as reviewing State party in more than three reviews.

30. The State party under review shall undertake consultations with the reviewing States parties, through their focal points, with the assistance of the Secretariat, on the establishment of time frames and the requirements of the desk review, in accordance with the guidelines for conducting the country reviews, including the selection of the working language, in accordance with section VII of the present procedures and rules.

31. Governmental experts from the reviewing States parties with expertise to the relevant instrument may divide tasks and issues among themselves, taking into account their respective fields of competence.

32. The Secretariat shall provide administrative support to facilitate the establishment of open lines of communication among the governmental experts involved in the desk review, in order to ensure that they can make best use of the secure written communication platform developed under SHERLOC and referred to in paragraph 20. The Secretariat shall be kept abreast of all communications made through SHERLOC. The Secretariat shall also be in charge of preparing the guidelines for the conduct of the country reviews, which may be based, inter alia, on the UNODC legislative, technical and assessment guides.

33. Within a reasonable time frame, to be mutually agreed by the parties involved, not exceeding six months, the State party under review shall provide the responses to the self-assessment questionnaires to the reviewing States parties through the secure module of SHERLOC.

34. Within a reasonable time frame, not exceeding six months, of the receipt of the responses to the self-assessment questionnaires from the State party under review, the reviewing States parties shall submit to the State party under review written feedback on the measures taken in the implementation of the Convention and the relevant Protocols, as well as on successes and challenges of such implementation. The feedback may also contain, where necessary, requests for clarification or additional information, or supplementary questions to which the State party under review is encouraged to respond. A constructive dialogue between the State party under review and the reviewing States parties shall be guided by the overarching principles and shall be archived in the designated *confidential* module in SHERLOC.

35. While SHERLOC represents the primary platform of communication, as described in sections V.C and V.D of the present procedures and rules, States parties participating in a review may use other available technological tools, such as virtual networks, conference calls and videoconferences as part of their constructive dialogue. State parties are encouraged to take advantage of regularly scheduled meetings of the Conference of the Parties and its working groups to further the direct

dialogue. Any relevant information resulting from such contacts should be uploaded on the sections of SHERLOC dedicated to the ensuing dialogue between the State party under review and the reviewing States parties, in order to keep record of the process.

36. The reviewing States parties and the Secretariat shall maintain the confidentiality of all information obtained in the course of, or used in, the desk review. On a voluntary basis, parties under review may request the Secretariat to use information provided during their reviews to populate the public elements of SHERLOC.

E. Outcome of the desk review

37. At the final stage of each review phase for each State party, the reviewing States, in close cooperation and coordination with the State party under review, and with the assistance of the Secretariat, shall prepare a list of observations indicating any gaps and challenges in the implementation of the provisions under review, best practices and, when necessary, technical assistance needs identified to improve implementation of the Convention and its Protocols. Such a list shall be short, precise and concise, and based on the responses to the self-assessment questionnaire and ensuing dialogue. This document shall be made available to the working groups as a conference room paper.

38. At the final stage of the overall review process, the reviewing States, with the substantive assistance of the Secretariat and in close cooperation and coordination with the State party under review, shall prepare a final desk review report to summarize the process. Upon request by the State party under review or the reviewing States the draft of the final desk review report shall be submitted by the Secretariat to the reviewing States for their consideration. The final document shall be based on the blueprint format and not exceed 4,000 words and should avoid duplications with the lists of observations and technical assistance needs referred to in paragraph 37. It may include best practices as well as references to measures that the State under review has taken in order to address the observations and recommendations made by the reviewing States during the review process.

39. The list of observations and technical assistance needs and the final desk review report shall be finalized upon agreement between the reviewing States parties and the State party under review.

40. The final desk review report shall be translated into the six official languages of the United Nations and be made available to the Conference and its working groups.

41. In order to improve and strengthen cooperation and learning among States parties, each State party shall make available to other States parties, through the secure module of SHERLOC, the responses to its self-assessment questionnaire, and, upon request of other States parties, may also make available the ensuing dialogue mentioned in paragraph 20 and additional documentation pertaining to its review. States parties and the Secretariat shall maintain the confidentiality of all information obtained in the process.

42. A State party may decide to make public the responses to its self-assessment questionnaire, ensuing dialogue and additional documentation, or part thereof, including through SHERLOC.

F. Follow-up procedures

43. The working groups of the Conference shall draw upon from the lists of observations mentioned in paragraph 37 as well as the final desk review reports in preparing their sessions, and take them into account when proposing generally applicable recommendations to the Conference.

44. The working group of Government Experts on Technical Assistance shall consider the technical assistance needs identified during the review process and make recommendations to the Conference of the Parties on how to assist States parties in their efforts to implement the Convention and the Protocols. As appropriate, States parties shall also provide information to the working group on whether technical assistance needs identified in relation to their review reports have been addressed.

45. As a follow-up to its review, a State party may request technical assistance based on the specific needs identified in the review process with a view to improve the capacity of the State party to effectively implement the Convention and the Protocols thereto. The Secretariat shall endeavour to seek voluntary contributions for these purposes, in accordance with the rules and procedures of the United Nations.

46. As a follow-up to its review, each State party is urged to share with the Conference and relevant working groups information on progress achieved in connection with the observations contained in the desk review reports and on any measures planned or undertaken.

VI. Secretariat

47. The Secretariat of the Conference shall be the Secretariat of the Mechanism. The tasks performed by the Secretariat are those indicated in the present procedures and rules.

VII. Languages

48. The working languages of the Mechanism shall be Arabic, Chinese, English, French, Russian and Spanish.

49. The desk review may be conducted in any one of the working languages of the Mechanism that may be decided upon by the State party under review and the reviewing States parties, in accordance with paragraph 29. In exceptional cases, where there is no agreement on the selection of the working language, the desk review may be conducted in two working languages.

50. Any additional translations and interpretations required for the conduct of the desk review shall be provided by extrabudgetary resources.

VIII. Participation of signatories to the Convention or any of the Protocols in the Mechanism

51. A State signatory to the Convention or any of the Protocols may participate in the Mechanism as a State under review on a voluntary basis. The costs associated with such participation shall be paid from available voluntary contributions.

IX. Non-signatories, entities, intergovernmental organizations and non-governmental organizations and the Mechanism for the review of the implementation of the United Nations Convention against Transnational Organized Crime and the Protocols thereto

52. In order to promote constructive dialogue and engagement with all relevant stakeholders and in accordance with article 32, paragraph 3 (c) of the Convention, informal meetings with interested relevant stakeholders, including non-signatories, entities, intergovernmental organizations and non-governmental organizations as referred to in articles 14, 15, 16, 17 of the rules of procedure for the Conference, shall be held on the review process, including on the technical assistance needs identified:

(a) Such meetings shall be convened on the margins of the meetings of the working groups and conducted by the chair of the working group, assisted by the Secretariat, at the request of the President of the Conference;

(b) No specific country situation shall be mentioned during the meetings, except that a country under review may voluntarily raise matters related to its own review;

(c) The Secretariat shall invite to the meetings all relevant stakeholders, including non-signatories, entities, intergovernmental organizations and non-governmental organizations, which have been entitled to participate as observers in the session of the Conference previous to the meeting, in conformity with articles 14, 15, 16, 17 of the rules of procedure for the Conference;

(d) If there is any objection to the participation of a non-governmental organization, the matter will be referred to the relevant working group for decision, taking into account, mutatis mutandis, rule 17, paragraph 2, of the rules of procedure;

(e) Relevant stakeholders, including non-signatories, entities, intergovernmental organizations and non-governmental organizations, wishing to attend a meeting shall confirm their attendance no later than ten days prior to the date of the meeting, at which time they will be allowed to provide comments in writing;

(f) The meetings shall be open to representatives of States parties and signatories;

(g) The Secretariat will prepare summaries of the meetings and submit them to the working groups as conference room papers;

(h) Such meetings will allow to brief observers on the development and outcomes of the review process, as well as to collect inputs and suggestions from the observers on ways to improve the implementation of the Convention and the Protocols thereto, in particular in relation to the prevention and the assistance and protection of victims of crime, as covered by article 6, paragraph 3, and article 9, paragraph 3 of the Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children and article 14, paragraph 2 of the Protocol against the Smuggling of Migrants by Land, Sea and Air;

(i) Non-signatories, entities, intergovernmental organizations and non-governmental organizations are encouraged to report to the Conference and/or the working groups, as appropriate, individually or collectively, on their activities and contributions to the implementation of the recommendations and conclusions of the working groups approved by the Conference, including those related to meeting technical assistance needs and advancing capacity to effectively implement the Convention and the Protocols.

X Funding

53. The Mechanism shall be funded through the existing regular budget resources of the United Nations that are allocated to the United Nations Office on Drugs and Crime, to be complemented, where necessary, by extrabudgetary resources, including voluntary contributions to be channelled through a dedicated account to be developed by the Secretariat, in accordance with the rules and procedures of the United Nations.

Appendix

Organization of the review of the implementation of the Convention and the Protocols thereto

Table 1
Clusters of articles of the Convention and the Protocols thereto for the purpose of the review of implementation

Legal instrument	*Cluster on criminalization and jurisdiction*	*Cluster on prevention, technical assistance, protection measures and other measures*	*Cluster on law enforcement and the judicial system*	*Cluster on international cooperation, mutual legal assistance and confiscation*
Organized Crime Convention	Articles 2, 5, 6, 8, 9, 10, 15 and 23[a]	Articles 24, 25, 29, 30 and 31	Articles 7, 11, 19, 20, 22, 26, 27 and 28	Articles 12, 13, 14, 16, 17, 18 and 21
Trafficking in Persons Protocol	Articles 3 and 5	Articles 6, 7 and 9	Articles 11, 12 and 13	Articles 8 and 10
Smuggling of Migrants Protocol	Articles 3, 5 and 6	Articles 8, 9, 14, 15 and 16	Articles 11, 12 and 13	Articles 7, 10 and 18
Firearms Protocol	Articles 3, 5 and 8	Articles 7, 9, 10, 11, 14 and 15		Articles 6, 12 and 13

[a] The review of articles 8 and 9 of the Convention is only for those States parties to the Organized Crime Convention that are not party to the United Nations Convention against Corruption.

Table 2
Multi-year workplan for the functioning of the mechanism

Year	*Organized Crime Convention working groups*[a]	*Working Group on Trafficking in Persons*	*Working Group on the Smuggling of Migrants*	*Working Group on Firearms*
I-II	Definition of organizational matters and questionnaire	Definition of organizational matters and questionnaire	Definition of organizational matters and questionnaire	Definition of organizational matters and questionnaire
III-VI	Criminalization	Criminalization	Criminalization	Criminalization
	International cooperation, mutual legal assistance and confiscation	International cooperation, mutual legal assistance and confiscation	International cooperation, mutual legal assistance and confiscation	International cooperation, mutual legal assistance and confiscation

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Review of the implementation of the United Nations Convention against Transnational Organized Crime and the Protocols thereto

Austria, Chile, Colombia, Costa Rica, France, Indonesia and Italy: revised draft resolution

Establishment of the Mechanism for the Review of the Implementation of the United Nations Convention against Transnational Organized Crime and the Protocols thereto[1]

The Conference of the Parties to the United Nations Convention against Transnational Organized Crime,

Recalling that the United Nations Convention against Transnational Organized Crime and the Protocols thereto[2] represent the principal worldwide legal instruments to combat the scourge of transnational organized crime, which affects individuals and societies in all countries, and reaffirming their importance as the main tools available to the international community for this purpose,

Reaffirming that the purpose of the Convention and the Protocols thereto is, inter alia, to promote cooperation to prevent and combat transnational organized crime more effectively, and stressing the need to take additional concerted action to reinforce the implementation of the Convention and the Protocols thereto by States parties and to identify related technical assistance needs,

Recalling article 32 of the Convention, pursuant to which the Conference of the Parties to the United Nations Convention against Transnational Organized Crime was established to improve the capacity of States parties to combat transnational organized crime and promote and review the implementation of the Convention,

Reaffirming its decision 1/2 of 7 July 2004, in which the Conference decided to carry out the functions assigned to it in article 32 of the Convention,

* CTOC/COP/2018/1
[1] This document has not been formally edited.
[2] United Nations, *Treaty Series*, vols. 2225, 2237, 2241 and 2326, No. 39574.

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Recalling that in article 32 of the Convention it is stated that the Conference of the Parties shall agree upon mechanisms for achieving, inter alia, the objective of periodically reviewing the implementation of the Convention,

Recalling also, in that regard, its resolutions 5/1 of 22 October 2010, 5/5 of 22 October 2010, 6/1 of 19 October 2012, and 7/1 of 10 October 2014,

Recalling further its resolution 8/2 of 21 October 2016 in which it decided to continue the process of establishing the mechanism for the review of the implementation of the United Nations Convention against Transnational Organized Crime and the Protocols thereto and to elaborate specific procedures and rules for the functioning of the mechanism for consideration and adoption by the Conference at its ninth session,

Taking note of relevant General Assembly resolutions, including resolution 72/196 of 19 December 2017, entitled "Strengthening the United Nations crime prevention and criminal justice programme, in particular its technical cooperation capacity", in which the Assembly welcomed with appreciation the decision of the Conference of the Parties to the Convention at its eighth session to continue the process of establishing a mechanism for the review of the implementation of the Convention and the Protocols thereto,

Recalling articles 2 and 37 of the Convention concerning, respectively, the use of terms and the relation between the Convention and the Protocols thereto, as well as the common article 1 of each Protocol thereto,

Recalling also articles 29 and 30 of the Convention, and stressing the connections between the review of the implementation of the Convention and the Protocols thereto and the technical assistance programmes provided to requesting States parties and international cooperation, with a view to combating transnational organized crime,

1. *Takes note with appreciation* of the work of the open-ended intergovernmental meeting for the purpose of defining the specific procedures and rules for the functioning of the review mechanism for the United Nations Convention against Transnational Organized Crime and the Protocols thereto, which was convened in Vienna from 24 to 26 April 2017, from 30 October to 1 November 2017, and from 21 to 23 March 2018;

2. *Adopts*, subject to the provisions of the present resolution, the Procedures and Rules for the Functioning of the Mechanism for the Review of the Implementation of the United Nations Convention against Transnational Organized Crime and the Protocols thereto, contained in the annex to the present resolution;[1]

3. *Decides* to launch the preparatory phase of the review process in accordance with the thematic clusters and multi-year workplan contained in tables 1 and 2 contained in the appendix to the Procedures and Rules;

4. *Takes note with appreciation* of the progress made by the working groups in the definition of the self-assessment questionnaires for the review of the implementation of the Convention and the Protocols thereto,[1] as mandated by the Conference in its resolution 8/2;

5. *Welcomes* the finalization, by the Working Group on the Smuggling of Migrants, of the self-assessment questionnaire related to the review of the Protocol

[1] On exceptional basis and without prejudice to the fulfilment of the obligations deriving from the Convention, including those under article 32, the Conference of the Parties decides that the Holy See may choose not to participate as either a State under Review or a Reviewing State in the mechanism established by the present Resolution.

against the Smuggling of Migrants by Land, Sea and Air, which will provide, once harmonized with other self-assessment questionnaires and adopted by the Conference, the basis for the review of the related Protocol;

6. *Requests* the United Nations Office on Drugs and Crime to convene, within existing resources, at least one meeting of an open-ended intergovernmental expert group, for the purpose of finalizing and harmonizing, as necessary, the self-assessment questionnaires and preparing the guidelines for conducting the country review and a blueprint for the lists of observations and for the summaries, referred to in the annex to the present resolution. The outcome of the work of the open-ended intergovernmental expert group will be submitted for consideration by the Conference at its tenth regular session.

7. *Invites* the President of the Conference of the Parties, with the support of the Bureau, to facilitate the work of the open-ended intergovernmental expert group through informal consultations and requests the Secretariat to support this process, including by preparing the draft of the guidelines and of the blueprints, for consideration by the open-ended intergovernmental expert group.

8. *Requests* the Secretariat, in close consultation with and reflecting inputs from States Parties, including via a test phase, to further develop the knowledge management portal known as Sharing Electronic Resources and Laws on Crime in accordance with the Procedures and Rules contained in the annex to the present Resolution, and to present it to the Conference for consideration at its tenth regular session;

9. *Stresses* the importance of ensuring under future budget cycles the efficient, continued and impartial functioning of the Mechanism, in accordance with the provisions of the Procedures and Rules contained in the annex to the present Resolution and decides to consider taking appropriate measures including, if necessary, to request Secretary-General to take appropriate actions.

10. *Invites* Member States and other donors to provide extrabudgetary resources for the purposes set out in the present resolution, in accordance with the rules and procedures of the United Nations and with the annexed procedures and rules for the functioning of the mechanism, including paragraph 54.

Annex

Procedures and Rules for the Functioning of the Mechanism for the Review of the Implementation of the United Nations Convention against Transnational Organized Crime and the Protocols thereto

Preamble

1. Pursuant to article 4, paragraph 1[4], and article 32, paragraphs 3 and 4, of the United Nations Convention against Transnational Organized Crime, together with articles 2 and 37 of the Convention and common article 1 of each Protocol thereto and recalling its resolution 8/2, the Conference of the Parties to the United Nations Convention against Transnational Organized Crime establishes the following mechanism to review implementation of the Convention and the Protocols thereto (hereinafter referred to as "the Mechanism").

I. Introduction

2. The Mechanism embodies a review process for the Convention and Protocols thereto that shall be guided by the principles and characteristics contained in section II below and be carried out in accordance with the provisions contained in section V. The Mechanism shall be facilitated by a secretariat as set out in section VI.

3. The procedures and rules are tailored to address the unique aspects of the United Nations Convention against Transnational Organized Crime and its Protocols thereto, and are without prejudice to the procedures and rules of any other United Nations instrument.

II. Guiding principles and characteristics of the Mechanism

4. The Mechanism shall:

(a) Be transparent, efficient, non-intrusive, inclusive and impartial;

(b) Not produce any form of ranking;

(c) Provide opportunities to share good practices and challenges;

(d) Assist States parties in the effective implementation of the Convention and, where applicable, the Protocols thereto;

(e) Take into account a balanced geographical approach;

(f) Be non-adversarial and non-punitive and promote universal adherence to the Convention and its Protocols;

(g) Base its work on clear, established guidelines for the compilation, production and dissemination of information, including addressing issues of confidentiality and the submission of the outcome to the Conference, which is the competent body to take action on such an outcome;

[4] Which provides that States Parties shall carry out their obligations under the United Nations Convention against Transnational Organized Crime in a manner consistent with the principles of sovereign equality and territorial integrity of States and that of non-intervention in the domestic affairs of other States.

(h) Identify, at the earliest possible stage, difficulties encountered by States parties in the fulfilment of their obligations under the Convention and its Protocols, as applicable, and good practices adopted in efforts by States parties to implement the Convention and, where applicable, the Protocols thereto;

(i) Be of a technical nature and promote constructive collaboration, inter alia, on issues concerning international cooperation, prevention, protection of witnesses and assistance and protection for victims;

(j) Complement existing relevant international and regional review mechanisms so that the Conference may, as appropriate, cooperate with those mechanisms and avoid duplication of efforts;

(k) Be an intergovernmental process;

(l) Be conducted in conformity with article 4 of the Convention, not serve as an instrument for interfering in the domestic affairs of States parties and be conducted in a non-political and non-selective manner and respect the principle of equality and sovereignty of States parties;

(m) Promote the implementation of the Convention and its Protocols by States parties, as applicable, as well as cooperation among States parties;

(n) Provide opportunities to exchange views, ideas and good practices, thus contributing to strengthening cooperation among States parties in preventing and fighting transnational organized crime;

(o) Take into account the levels of development of States parties, as well as the diversity of judicial, legal, political, economic and social systems and differences in legal traditions;

(p) Endeavour to adopt a progressive and comprehensive approach, given that the review of implementation of the Convention is an ongoing and gradual process.

III. Efficiency of the Mechanism

5. The Mechanism shall be cost-effective, concise and user-friendly; and make optimal and efficient use of existing information, tools, resources and technology so that it would not impose undue burdens upon States parties, their central authorities, other relevant authorities and experts involved in the review process.

IV. Relationship of the Mechanism with the Conference of the Parties

6. The review of implementation of the Convention and the Protocols thereto and the Mechanism shall be under the authority of the Conference, in accordance with article 32 of the Convention.

7. Without prejudice to the guiding principles and characteristics of the mechanism contained in Section II, the Conference may conduct an evaluation of the organization, functioning, funding, and performance of the review process, so as to amend and improve the existing Mechanism at any time.

V. Review process

A. Goals

8. Consistent with the Convention, in particular article 32, the review process, inter alia, shall assist the Conference to:

(a) Promote the purposes of the Convention and the Protocols thereto, as set out in article 1 of the Convention and article 2 of each of the Protocols;

(b) Improve the capacity of States parties to prevent and combat transnational organized crime and to promote and review the implementation of the Convention and the Protocols thereto;

(c) Help States parties to identify and substantiate specific needs for technical assistance and to promote and facilitate the provision of technical assistance upon their request;

(d) Gather information on national legislation, successes, good practices and challenges of States parties in implementing and using the Convention and the Protocols thereto, and to promote and facilitate the exchange of this information;

(e) Promote international cooperation as stipulated in the Convention and the Protocols thereto;

(f) Acquire the necessary knowledge of the measures taken by States parties in implementing the Convention and the difficulties encountered by them in doing so through information provided through the gathering process described in section V.C of the present procedures and rules.

B. Review process

9. The Mechanism shall be applicable to all States parties to the Convention and to each of the Protocols they are parties to. It shall progressively address all the articles of the Convention and the Protocols thereto. It shall be structured on thematic clusters of articles based on their subject matter, as indicated in table 1 contained the appendix. The review shall be a gradual process consisting of one preparatory phase (years 1 and 2) and four subsequent review phases (years 3–12).

10. For each group of States parties as set forth in paragraph 17, the advancement to the next review phase is conditional upon the completion of 70 per cent of the reviews foreseen at the beginning of the previous phase, unless the Conference decides otherwise.

11. For each group of States parties as set forth in paragraph 17, the implementation of the Convention and the Protocols thereto must be reviewed under the same thematic cluster at the same time.

12. The review process shall be composed of a general review that will be undertaken in the Plenary of the Conference of the Parties, and of country reviews that will be conducted through desk reviews. The Conference and its working groups shall add the matter to their agendas as an item consistent with their areas of expertise and without prejudice to their respective existing mandates. Taking into consideration the progressive nature of the review set forth in paragraph 9, the content of the agendas and scheduling of the meetings of the working groups will be decided by the Conference or the extended Bureau in a timely manner. In order to ensure that the working groups may contribute to the review mechanism while also carrying out their

respective existing mandates, each working group should dedicate no more than one agenda item per session to matters pertaining to the functioning of the review process.

13. Country reviews will identify best practices, gaps and challenges in the implementation of the provisions under review, suggestions and, when necessary, technical assistance needs. In accordance with paragraph 43, discussions pertaining to country reviews will be undertaken in the relevant working groups.

14. The general review held in the Plenary of the Conference of State Parties shall facilitate the exchange of experiences, lessons learned, best practices and challenges in implementing the Convention and Protocols and the identification of technical assistance needs, with a view to improving their effective implementation and promoting international cooperation. It will be facilitated by general reports referred to in paragraph 19 of the present Procedures and Rules.

15. The preparatory phase (years 1 and 2) shall be devoted to the definition of organizational matters, including the preparation of the guidelines for conducting the country review and the blueprint for the list of observations and summaries, and the finalization, in accordance with paragraph 19 of the present procedures and rules, of the self-assessment questionnaire for each of the instruments. This preparatory phase shall also be used to ensure the optimal and efficient use of existing information, tools, resources and technology as part of the review process. The four review phases shall be held from year 3 to year 12. For each group of States parties as set forth in paragraph 17, they shall last two years each. The four review phases shall be conducted and concluded in line with the multi-year workplan contained in table 2 contained in the appendix.

16. The Conference may decide to make amendments to the multi-year workplan if doing so is deemed appropriate in the light of the efficient functioning of the Mechanism. The relevant working groups may recommend to the Conference adjustments to the multi-year workplan.

17. The selection of States parties participating in the country reviews shall be carried out by the drawing of lots at the beginning of the review process, staggered in three consecutive years. Each year one third of the States parties to the Convention will be selected to be reviewed for all the instruments they are parties to, in accordance with paragraphs 28 and 29 of the present procedures and rules. If possible, the number of States parties from each regional group to be selected for review in a given year shall be proportionate to the size of that regional group.

18. Each State party shall appoint a focal point to coordinate its participation in the review, and make this information available on the knowledge management portal known as Sharing Electronic Resources and Laws on Crime (SHERLOC). In case a State party has not appointed a focal point by the time of the drawing of the lots referred to in paragraph 28, all communications will be submitted to its permanent representative who shall act as temporary focal point.

C. Information-gathering

19. In order to review each thematic cluster of articles of the Convention and Protocols thereto, short, precise and focused self-assessment questionnaires for the review of implementation of each instrument shall be finalized during the preparatory phase. Provisions of the Convention that apply to the Protocols, mutatis mutandis, will be reviewed under the Convention only. In responding to the questionnaires, States parties are invited to provide complete, up-to-date, accurate and timely information in one of the working languages of the Mechanism, in accordance with Section VII. The responses to the questionnaires and the lists of observations

indicated in paragraph 38, when available, shall be the basis for a general report of trends, patterns and best practices to be prepared – or updated as appropriate - by the Secretariat for consideration by the Conference at its regular sessions. The responses to the questionnaires shall be the basis for the country review, without prejudice to information or clarification requested by the reviewing States parties and provided by the State party under review.

20. Each State party under review shall provide the responses to the self-assessment questionnaire to the reviewing States parties through the secure module of SHERLOC established in line with paragraph 21. Upon request, the Secretariat shall facilitate the States parties uploading information including by assisting them with e-training, instructions, advice, credentials.

21. The self-assessment questionnaire shall be available on SHERLOC. A new secure module shall be developed as a further component of SHERLOC to host the questionnaires and responses thereto, which shall ensure the full confidentiality of all data submitted by States parties. The module shall include a secure written communications platform for the ensuing dialogue between the State party under review and the reviewing States parties, and archive capabilities.

22 When responding to the self-assessment questionnaires, States parties may also refer to information provided in the context of other relevant review mechanisms of instruments to which they are Parties. States parties shall bear in mind that any update since previous submissions of information under other review mechanisms are appropriately reflected in the responses. In particular, when reviewing the same legislation for obligations which are identical or similar to those under the United Nations Convention against Corruption, a State Party under review may refer to responses and additional documentation that it has submitted under the review mechanism of the United Nations Convention against Corruption.

23 The State party under review is encouraged to prepare its responses to the self-assessment questionnaire through broad consultations at the national level with all relevant stakeholders, including, where appropriate, the private sector, individuals and groups outside the public sector, non-governmental organizations and academia, taking into consideration the specificities of the Convention and the Protocols thereto.

24 The Secretariat shall be responsible for optimising and maintaining SHERLOC to serve as the user-friendly database for collecting and disseminating information on the review mechanism.

D. Conduct of the country review

25 The country review shall consist of a single review for each State party of its implementation of the Convention and of each Protocol it is party to. It shall be conducted in phases, with each phase beginning with the completion by the State party under review of the relevant sections of the self-assessment questionnaire on its implementation of each instrument to which it is a party.

26 The responses to the self-assessment questionnaire and any additional information provided by the State party under Review, including reference to relevant legislation, shall be reviewed by two other States that are parties to the relevant instruments, with the active involvement of the State party under review. State Parties under review are also encouraged to provide to SHERLOC any other reference materials that may contribute to a better understanding of their legal framework.

27 Each State party shall, for the purposes of the review, designate at least one governmental expert with expertise relevant to the instruments it is party to and make this information available on SHERLOC.

28 At the beginning of the review process, a joint intersessional meeting of the working groups without interpretation shall draw lots to select as reviewing States one State from the regional group of the State party under review and one State from another regional group. The reviewing States shall serve as such for the duration of the review process for each State party under review through four subsequent review phases. The method for drawing of lots will be based on the following criteria:

(a) States shall not undertake mutual reviews;

(b) For each instrument, a State Party under review shall not be reviewed by States which are not parties to the same instrument; in case a drawn reviewing State is not party to all the instruments to which the State under review is Party, an additional drawing of lots shall be carried out so as to select an additional reviewing State only for those instruments;

(c) The total number of reviewing States for all instruments shall not exceed four, unless the State under review decides otherwise;

(d) State party under review and the reviewing States may request a maximum of four times each that the drawing of lots be repeated, including but not limited to, for the purpose of facilitating the selection of a mutual working language for the conduct of the country review or to facilitate the participation of at least one reviewing State from similar legal systems;

(e) In exceptional circumstances, State Parties may request a redraw;

(f) If needed, the drawing of the lots may be repeated at a subsequent intersessional meeting.

29 By the end of the review process, each State party must have undergone its own review and performed a minimum of one review and a maximum of three reviews. On a voluntary basis, States parties may participate as reviewing State party in more than three reviews.

30 If a reviewing State party is unable to carry out its duties as a reviewer, in accordance with the guiding principles of the mechanism, the State party under review shall request a consultation with the related reviewing State party and the Secretariat with a view to addressing the concern. In case the State parties fail to resolve the issue through the consultation, the State party under review may request a redrawing of lots at any time. The redrawing of lots shall be held in any working group meeting and in accordance with provisions of paragraph 28.

31 The State party under review shall undertake consultations with the reviewing States parties, through their focal points, with the assistance of the Secretariat, on the establishment of timeframes and the requirements of the country review, in accordance with the guidelines for conducting the country reviews, including the selection of the working language or languages, in accordance with section VII of the present procedures and rules.

32 Governmental experts from the reviewing States parties with expertise to the relevant instrument may divide tasks and issues among themselves, taking into account their respective fields of competence.

33 The Secretariat shall provide administrative support to facilitate the establishment of lines of communication among the governmental experts involved in the country review upon request, in order to ensure that they can make best use of the secure written communication platform developed under SHERLOC and referred to in paragraph 21. The Secretariat shall be kept abreast of all communications made through SHERLOC.

34 Within a reasonable timeframe, to be mutually agreed by the parties involved, not exceeding six months, the State party under review shall provide the responses to the self-assessment questionnaires to the reviewing States parties through the secure module of SHERLOC.

35 Within a reasonable timeframe, not exceeding six months, of the receipt of the responses to the self-assessment questionnaires from the State party under review, the reviewing States parties shall submit to the State party under review written feedback on the measures taken in the implementation of the Convention and the relevant Protocols, as well as on successes and challenges of such implementation. The feedback may also contain, where necessary, requests for clarification or additional information, or supplementary questions to which the State party under review is encouraged to respond. A constructive dialogue between the State party under review and the reviewing States parties shall be guided by the principles and characteristics set forth in Section II as well as the provisions set forth in Section III, and shall be archived in the designated confidential module in SHERLOC.

36 While SHERLOC represents the primary platform of communication, as described in sections V.C and V.D of the present procedures and rules, States parties participating in a review may use other available technological tools, such as virtual networks, conference calls and videoconferences as part of their constructive dialogue. State parties are encouraged to take advantage of regularly scheduled meetings of the Conference of the Parties and its working groups to further the direct dialogue. Relevant information on such dialogues may be uploaded on the sections of SHERLOC dedicated to the ensuing dialogue between the State party under review and the reviewing States parties, in order to keep record of the process.

37 The reviewing States parties, their governmental experts involved in the review and the Secretariat shall maintain the confidentiality of all information obtained in the course of, or used in, the country review. On a voluntary basis, parties under review may request the Secretariat to use information provided during their reviews to populate the public elements of SHERLOC.

E. Outcome of the country review

38 At the final stage of each review phase for each State party, the reviewing States, in close cooperation and coordination with the State party under review, and with the assistance of the Secretariat, shall prepare a list of observations indicating any gaps and challenges in the implementation of the provisions under review, best practices, suggestions and any technical assistance needs identified to improve implementation of the Conventions and its Protocols. Such lists shall follow the blueprint format referred to in para 15, be precise and concise, and be based on the responses to the self-assessment questionnaire and ensuing dialogue. This document shall be made available to the working groups as a conference room paper, unless, in exceptional circumstances, the State Party under review decides to keep some parts of the list confidential. At the end of each phase, a summary of the lists of observations, not exceeding 1,500 words and based on the same blueprint, shall be translated into the six official languages of the United Nations and be made available to the Conference and its working groups.

39 The list of observations, gaps, challenges, best practices, suggestions and, when necessary, technical assistance needs and the summaries shall be finalized upon agreement between the reviewing States Parties and the State Party under review.

40 In order to improve and strengthen cooperation and learning among States parties, the responses to the self-assessment questionnaires submitted after the adoption of this review mechanism shall be made accessible to all State parties on the

secure module of SHERLOC. The State under review may also decide to make available the ensuing dialogue mentioned in paragraph 21 and additional documentation pertaining to its review.

41 A State party may decide to make public the responses to its self-assessment questionnaire, ensuing dialogue and additional documentation, or part thereof, including through SHERLOC.

42 After the submission of the responses to the questionnaires a State party under review may, on a voluntary basis, share its good practices and experiences with regard to the exercise of completing the questionnaires.

F. Follow-up procedures

43 The working groups of the Conference shall draw upon the lists of observations mentioned in paragraph 38 in preparing their sessions, and take them into account when proposing generally applicable recommendations to the Conference.

44 The working group of Government Experts on Technical Assistance shall consider the technical assistance needs identified during the review process and make recommendations to the Conference of the Parties on how to assist States parties in their efforts to implement the Convention and the Protocols. As appropriate, States parties shall also provide information to the working group on whether technical assistance needs identified in relation to their review reports have been addressed.

45 As a follow-up to its review, a State party may request technical assistance based on the specific needs identified in the review process with a view to improve the capacity of the State party to effectively implement the Convention and the Protocols thereto. The Secretariat shall endeavour to seek voluntary contributions for these purposes, in accordance with the rules and procedures of the United Nations.

46 As a follow-up to its review each State party is encouraged to share with the Conference and relevant working groups information on progress achieved in connection with the lists mentioned in paragraph 38 and on any measures planned or undertaken. Additionally, each State Party may wish to upload information on progress achieved onto SHERLOC. At the end of the review the Conference of the State Parties may consider further means to report on progress achieved.

VI. Secretariat

47 The Secretariat of the Conference shall be the Secretariat of the Mechanism. The tasks performed by the Secretariat are those indicated in the present procedures and rules.

48 In addition to its tasks provided in paragraph 47, if necessary, the Secretariat may also, upon request and within existing resources of the mechanism, provide support and assistance to State Parties in the conduct of this mechanism in accordance with the relevant rules and procedures of the United Nations. The tasks envisioned shall not produce an undue burden on the Secretariat, or replace tasks that are meant to be carried out by States Parties.

VII. Languages

49 The working languages of the Mechanism shall be Arabic, Chinese, English, French, Russian and Spanish.

50 The Country review process may be conducted in any one or two of the working languages of the Mechanism that may be decided upon by the State Party under review and the reviewing States Parties. In exceptional circumstances, the review process may be conducted in three working languages. The Secretariat shall be responsible for providing the required translation as necessary for the efficient functioning of the Mechanism. The States Parties are encouraged to conduct the review in only one of the working languages of the mechanism.

51 State Parties may provide for assistance to other States Parties that need translation into languages other than the six working languages of the review mechanism through monetary or in kind contributions. Particular attention should be given to requests from least developed countries and developing countries.

VIII. Participation of signatories to the Convention or any of the Protocols in the Mechanism

52 A State signatory to the Convention or any of the Protocols may participate in the Mechanism as a State under review on a voluntary basis. The costs associated with such participation shall be paid from available voluntary contributions.

IX. Signatories, Non-signatories, entities, intergovernmental organizations and non-governmental organizations and the Mechanism for the review of the implementation of the United Nations Convention against Transnational Organized Crime and the Protocols thereto

53 In order to promote fruitful engagement with relevant stakeholders, including NGOs, and in accordance with article 32, paragraph 3 (c) of the Convention, the working groups shall have a constructive dialogue on the review process with relevant stakeholders, including NGOs:

(a) As a regular practice, constructive dialogues will be convened with relevant stakeholders following the conclusion of the sessions of the working groups and the adoption of the reports. The constructive dialogue shall be conducted by the chair of the Working Group, assisted by the Secretariat. A panel with representatives of relevant stakeholders, including NGOs, may be arranged with the assistance of the UNODC. The UNODC shall also endeavour to encourage a wide participation and facilitate balanced geographical representation of the NGOs in these constructive dialogues;

(b) No specific country situation shall be mentioned during the constructive dialogues except that a country under review may voluntarily raise matters related solely to its own review;

(c) The constructive dialogue shall be open also to State parties and signatories, non-signatories, entities, inter-governmental organizations;

(d) NGOs wishing to attend the constructive dialogue shall confirm their attendance no later than fifteen days prior to the date of the dialogue, at which time they will be allowed to provide comments in writing. A list of such applicants will be circulated to states parties no later than ten days before the constructive dialogue. If there is any objection to the participation of a non-governmental organization, the matter will be referred to the Bureau of the Conference;

(e) Other relevant stakeholders, including representatives of the private sector and academia, may also apply to participate, provided applications are submitted at least fifteen days before the constructive dialogue, at which time they will be allowed to provide comments in writing. A list of such applicants will be circulated to states parties no later than ten days prior to the constructive dialogue, and the requests should be approved provided that no state party objects.;

(f) The Chair of the Working Group may decide not to convene the constructive dialogue if insufficient applications are received by the deadlines set out in sub-paragraphs d) and e);

(g) The Secretariat will prepare a programme for the constructive dialogue and background papers to facilitate the engagement among participants;

(h) Written Chair's Summaries of the discussions will be prepared by the Chair and made available to the Working Groups at their next sessions;

(i) Such constructive dialogues will allow to brief participants on the development and outcomes of the review process, as well as to collect inputs and suggestions from participants, including their contributions on ways to improve the implementation of the Convention and the Protocols thereto;

(j) Participants are encouraged to take advantage of the constructive dialogues to provide information on their relevant activities, including those related to meeting technical assistance needs.

X. Funding

54 The requirements of the Mechanism and its Secretariat shall be funded, in its entirety, from the existing resources of the regular budget allocated to the Conference of Parties to the United Nations Convention against Transnational Organized Crime and Protocols thereto, and where necessary, additional costs shall be funded by extrabudgetary resources, including voluntary contributions without conditions that would impact the impartiality of the mechanism, to be channelled through a dedicated account to be developed by the Secretariat, in accordance with the rules and procedures of the United Nations.

Appendix

Organization of the review of the implementation of the Convention and the Protocols thereto

Table 1
Clusters of articles of the Convention and the Protocols thereto for the purpose of the review of implementation

Legal instrument	*Cluster on criminalization and jurisdiction*	*Cluster on prevention, technical assistance, protection measures and other measures*	*Cluster on law enforcement and the judicial system*	*Cluster on international cooperation, mutual legal assistance and confiscation*
Organized Crime Convention	Articles 2, 5, 6, 8, 9, 10, 15 and 23[a]	Articles 24, 25, 29, 30 and 31	Articles 7, 11, 19, 20, 22, 26, 27 and 28	Articles 12, 13, 14, 16, 17, 18 and 21
Trafficking in Persons Protocol	Articles 3 and 5	Articles 6, 7 and 9	Articles 11, 12 and 13	Articles 8 and 10
Smuggling of Migrants Protocol	Articles 3, 5 and 6	Articles 8, 9, 14, 15 and 16	Articles 11, 12 and 13	Articles 7, 10 and 18
Firearms Protocol	Articles 3, 5 and 8	Articles 7, 9, 10, 11, 14 and 15		Articles 6, 12 and 13

[a] The review of articles 8 and 9 of the Convention is only for those States parties to the Organized Crime Convention that are not party to the United Nations Convention against Corruption.

Table 2
Multi-year workplan for the functioning of the mechanism

Year	*Organized Crime Convention working groups*[a]	*Working Group on Trafficking in Persons*	*Working Group on the Smuggling of Migrants*	*Working Group on Firearms*
I-II	Definition of organizational matters and questionnaire	Definition of organizational matters and questionnaire	Definition of organizational matters and questionnaire	Definition of organizational matters and questionnaire
III-VI	Criminalization	Criminalization	Criminalization	Criminalization
	International cooperation, mutual legal assistance and confiscation	International cooperation, mutual legal assistance and confiscation	International cooperation, mutual legal assistance and confiscation	International cooperation, mutual legal assistance and confiscation
VII-X	Law enforcement and judicial system	Law enforcement and judicial system	Law enforcement and judicial system	Law enforcement and judicial system
	Prevention, assistance, protection measures and other measures	Prevention, assistance, protection measures and other measures	Prevention, assistance, protection measures and other measures	Prevention, assistance, protection measures and other measures

[a] The Working Group on International Cooperation and the Working Group of Government Experts on Technical Assistance.